



U.S. Department of State  
Bureau of Democracy, Human Rights and Labor  
2201 C Street, NW, Room 7827  
Washington, D.C. 20520  
<http://www.state.gov/j/drl/>

# **Proposal Submission Instructions (PSI) for Full Proposals**

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***PLEASE REFER TO THIS DOCUMENT WHEN PREPARING A FULL PROPOSAL.***

## **Eligibility**

### **Eligible Applicants**

The Bureau of Democracy, Human Rights, and Labor (DRL) welcomes applications in response to DRL solicitations from U.S.-based and foreign-based non-profit organizations/non-government organizations (NGO) and public international organizations; private, public, or state institutions of higher education; or in some instances, if allowed in the solicitation and subject to additional approvals, for-profit organizations or businesses.

Applicants must also have existing, or the capacity to develop, active partnerships with thematic partners or in-country partners, entities and relevant stakeholders including industry and NGOs and have demonstrable experience in administering successful and preferably similar projects.

DRL encourages applications from foreign-based NGOs headquartered in the geographic regions/countries relevant to the applicable solicitation. Applicants may form consortia and submit a combined proposal. However, one organization should be designated as the lead applicant with the other members as sub-award partners. DRL reserves the right to request additional background information on applicants that do not have previous experience administering federal grant awards, and these applicants may be subject to limited funding on a pilot basis. Please refer to the applicable solicitation for any additional eligibility criteria.

Please note: the Department of State prohibits profit under its assistance awards to for-profit or commercial organizations. No funds will be paid as profit to any recipient. Profit is defined as any amount in excess of allowable direct and indirect costs. The allowability of costs incurred by commercial organizations is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 CFR Part 31, Cost Accounting Standards, and Part 31 Contract Cost Principles and Procedures. Program income earned by the recipient must be deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

DRL is committed to an anti-discrimination policy in all of its programs and activities. DRL welcomes applications irrespective of an applicant's race, ethnicity, color, creed, national origin, gender, sexual orientation, gender identity, disability, or other status. DRL encourages applications from organizations working with the most at risk and vulnerable communities, including women, youths, persons with disabilities, ethnic or religious minorities, and LGBT persons.

Please note: no entity listed on the Excluded Parties List System in the **System for Award Management (SAM)** is eligible for any assistance or can participate in any activities under an award in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR Part 1986 Comp., p. 189) and 12689 (3 CFR Part 1989 Comp., p. 235), "Debarment and Suspension." All applicants are strongly encouraged to review the Excluded Parties List System in SAM to ensure that no ineligible entity is included.

## Eligibility Requirements

All organizations, whether based in the U.S. or in another country, must have a **Dun and Bradstreet Data Universal Number (DUNS)** and an active registration with SAM in order to receive awards from DRL or submit an application through Grants.gov. If you are based in the U.S. or pay employees within the U.S., you will need an Employer Identification Number (EIN) from the Internal Revenue Service (IRS) and a Commercial and Government Entity (CAGE) code. If you are based outside of the U.S. and do not pay employees within the U.S., you do not need an EIN from the IRS. However, you will need a NATO CAGE (NCAGE) code before you can have an active registration in SAM. For further guidance on the registration process, please see the Registration Guide on DRL's website <http://www.state.gov/j/drl/p/c12302.htm>.

Organizations submitting an application through GrantSolutions.gov may not need a DUNS or an active registration in SAM at the time of submitting an application, but will be required to have this in order to receive the award. Registering in SAM could take up to 4 weeks or longer, and DRL encourages applicants to begin the registration process as soon as possible. Please refer to the applicable solicitation for any additional eligibility requirements.

Please note: SAM requires all entities to renew their registration once a year in order to maintain an active registration status in SAM. It is the responsibility of the applicant to ensure it has an active registration in SAM and to also maintain its active registration in SAM during the lifetime of a grant, if awarded.

## Technical Eligibility

Technically eligible applications are those which:

- 1) Arrive electronically via GrantSolutions.gov or Grants.gov by the designated due date and time noted in the solicitation;
- 2) Are in English, or if an original document within the application is in another language, an English translation is provided;
- 3) Heed all instructions contained in the solicitation document and Proposal Submission Instructions (PSI), including length and completeness of application; and,
- 4) Do not violate any of the guidelines stated in the solicitation and the PSI.

It is the sole responsibility of the applicant to ensure that all of the material submitted in the grant application package is complete, accurate, and current. DRL strongly encourages all applicants, especially foreign or first-time applicants, to submit applications before the designated due date to ensure that the application has been received and is complete.

## Application Requirements

### Format Requirements

For all application documents, please ensure:

- 1) All pages are numbered, including budgets and attachments;
- 2) All documents are formatted to 8 ½ x 11 paper; and,
- 3) All documents are single-spaced, 12 point Times New Roman font, with 1-inch margins.

### Required Application Components

Complete applications must include the following:

1. Completed and signed SF-424, SF-424A and SF424B, as directed on GrantSolutions.gov or Grants.gov; completed and signed SF-LLL, “Disclosure of Lobbying Activities” and the “Certification Regarding Lobbying Activities” (if applicable) (which can be found with the solicitation on GrantSolutions.gov or Grants.gov and on the DRL website at: <http://www.state.gov/j/drl/p/c12302.htm>); and your organization’s most recent audit (A-133 audit, if applicable or standard audit).
2. Table of Contents (not to exceed one [1] page in Microsoft Word) that includes a page numbered contents page, including any attachments.
3. Executive Summary (not to exceed two [2] pages in Microsoft Word) that includes:
  - a) The target country/countries and thematic area;
  - b) Name and contact information for the project’s main point of contact;
  - c) The total amount of funding requested and program length;
  - d) A statement of work or synopsis of the program, including a concise breakdown of the project’s objectives, activities, and expected results; and,
  - e) A brief statement on how the project is innovative, sustainable, and will have a demonstrated impact.
4. Proposal Narrative (not to exceed ten [10] pages in Microsoft Word). Please note the ten page limit does not include the Table of Contents, Executive Summary, Attachments, Detailed Budget, Budget Narrative or NICRA. Applicants are encouraged to submit multiple documents in a single Microsoft Word or Adobe file, (i.e., Table of Contents, Executive Summary, Proposal Narrative, and Budget Narrative in one file).
5. Detailed Line-Item Budget (preferably in Microsoft Excel) that includes three [3] columns including the request to DRL, any cost sharing contribution, and total budget (see below for more information on budget format). A summary budget should also be included using the OMB approved budget categories (see SF-424A as a sample). Costs

must be in U.S. dollars. Detailed line-item budgets for sub-grantees should be included in additional tabs within the excel workbook.

6. Budget Narrative (preferably in Microsoft Word) that includes substantive explanations and justifications for each line item in the detailed budget spreadsheet, as well as the source and a description of all cost-share offered. For ease of review, DRL recommends applicants order the budget narrative as presented in the detailed budget. Personnel costs should include a clarification of the roles and responsibilities of key staff, base salary, and percentage of time devoted to the project. The budget narrative should provide additional information that might not be readily apparent in the detailed-line item budget, not simply repeat what is represented numerically in the budget, i.e. salaries are for salaries or travel is for travel. Please see below section, **Budget Guidelines**, for more information.
7. Attachments (not to exceed twelve [12] pages total, preferably in Microsoft Word) that include the following in order:
  - a) Logic model – Page 1-2: Please see below section, **Logic Model**, for more information.
  - b) Risk Assessment – Page 3: Please see below section, **Risk Analysis**, for more information.
  - c) Monitoring and Evaluation Plan – Pages 4-7: Please see below section,
  - d) **Monitoring and Evaluation** Plan, for more information. This section can be up to four pages long if necessary.
  - e) Roles and responsibilities of key program personnel – Page 8: Please include short bios that highlight relevant professional experience. This relates to the organization's capacity. Given the limited space, CVs are not recommended for submission.
  - f) Timeline of the overall proposal – Page 9: Components should include activities, evaluation efforts, and program closeout.
  - g) Additional optional attachments – Page 10-12: Attachments may include further timeline information, letters of support, memorandums of understanding/agreement, etc. For applicants with a large number of letters/MOUs, it may be useful to provide a list of the organizations or government agencies that support the program rather than the actual documentation.
8. If your organization has a Negotiated Indirect Cost Rate Agreement (NICRA) and includes NICRA charges in the budget, your latest NICRA should be included as a .pdf file. This document will not be reviewed by the panelists, but rather used by program and grant staff if the submission is recommended for funding and therefore does not count against the submission page limitations. If your proposal involves subgrants to organizations charging indirect costs, please submit the applicable NICRA also as a .pdf file (see below for more information on indirect cost rates).

Please note: DRL retains the right to ask for additional documents not included in this PSI. Additionally, to ensure all applications receive a balanced evaluation, the Department of State Review Panel will review the first page of the requested section up to the page limit and no further. DRL encourages organizations to use the given space effectively.

## **Guidelines for Application Components**

### **Office of Management and Budget (OMB) Circulars**

For Federal awards starting before December 26, 2014, organizations should be familiar with OMB Circulars A-110 (Revised) 22 CFR 145 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles. For a copy of the OMB circulars cited, please contact Government Publications or download from [http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default).

Starting from December 26, 2014, OMB Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards (2 CFR Chapter I, Chapter II, Part 200, et al.) will take effect. All applicants should be familiar with the Uniform Guidance and be aware that all awards made on or after December 26, 2014 will be made with terms and conditions subject to the Uniform Guidance. Applications that are submitted before December 26, 2014 for Federal awards to be made on or after December 26, 2014 should be developed in accordance with the Uniform Guidance. For a copy of the Uniform Guidance, please contact Government Publications or download from <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>.

### **SF-424 Forms**

Organizations must fill out, sign, and submit SF-424, SF-424A, and SF-424B forms as directed on GrantSolutions.gov or Grants.gov. Please refer to the following guidelines as you fill out the SF-424:

1. Type of Submission: Application
2. Type of Application: New
3. Date Received: Leave blank. This will automatically be assigned.
4. Applicant Identifier: Leave blank
- 5a. Federal Entity Identifier: Leave blank
- 5b. Federal Award Identifier: Leave blank
6. Date Received by State: Leave blank. This will automatically be assigned
7. State Application Identified: Leave blank. This will automatically be assigned
- 8a. Enter the legal name of the applicant organization. Do NOT list abbreviations or acronyms unless they are part of the organization's legal name.
- 8b. Employer/Taxpayer ID Number: Non-U.S. organizations enter 44-4444444 (no dash)
- 8c. Enter organizational DUNS number (Data Universal Numbering System). If a DUNS number is not required at time of submission, please enter 4444-44444 (no dash).
- 8d. Enter the address of the applicant
- 8e. Enter the name of the primary organizational unit (and department or division, if applicable)

that will undertake the assistance activity, if applicable

8f. Enter the name, title, and all contact information of the person to be contacted on matters involving this application

9. Select an applicant type (type of organization)

10. Enter: Department of State

11. The CFDA number is normally 19.345. However, please see the solicitation if another CFDA number should be used instead.

12. Enter the Funding Opportunity Number and title. This number will already be entered on electronic applications.

13. Enter the Competition Identification Number and title. This number will already be entered on electronic applications.

14. Areas Affected by Project: List the country or countries where project activities will take place in alphabetical order; for projects that will take place in more than one region enter "Global"

15. Enter the title of your proposed project (if necessary, delete pre-printed wording)

16. Congressional districts of Applicant and Program: If based in the U.S. please enter congressional district; if unknown or a foreign applicant, please enter "90."

16b. For congressional district of program, please enter "90."

17. Please refer to the solicitation for the estimated start date and enter your projected end date

18a. Enter the amount requested for the project described in the proposal under "Federal"

18b. Enter any cost-share under "Applicant". Otherwise, use zeros.

19. Enter "c"

20. Select the appropriate box. If you answer "yes" to this question you will be required to provide an explanation.

21. Enter the name, title, and all contact information of the individual authorized to sign for the application on behalf of the applicant organization.

**Please note: the person who signs the 424A must have legal authority to do so on behalf of the organization.**

Please fill in the highlighted fields of the SF 424A with information from your proposed budget.

Please fill in the highlighted fields of the SF-424B: Page 2 - Complete applicant organization and title of authorized official sections. The Authorized Official is generally the grant signatory at the organization or business.

### Logic Model

A logic model is a useful tool to help one "map" a project and keep track of activities (outputs) and results (outcomes) by specifying strategic objectives, identifying what resources are needed, outlining proposed activities and beneficiaries, and illustrating its relationship to the proposed results. The components of a basic logic model include:

- **Needs:** The community need or problem as identified by the organization.
- **Inputs:** Human and financial resources used for the program implementation.
- **Activities:** Actions taken or work performed through which inputs are mobilized to produce outputs.

- **Participation:** The individuals who participate or are targeted through the activities.
- **Pathways:** Linkages that specify how activities of a program lead to the expected outputs, outcomes, and impact of a program through each step of the logic model.
- **Expected Outputs:** Direct and measurable results expected from program activities. They should be tangible, visible and measurable products of program work. If they are sustainable beyond the activity, they may turn into program outcomes.
- **Expected Outcomes:** The short-term and medium-term effects of a program's outputs. Outcomes should reflect the results of program's activities and their near-term effects on program goals.
- **Expected Impact:** The long-term effects of a program, which is linked closely to the overall program objective. Such an objective could be as ambitious as reducing human rights violations in an authoritarian society, or it could be less ambitious, though equally important, such as adding greater female representation to a country's political parties.
- **Assumptions:** Hypotheses about factors or risks which could affect the progress or success of a program intervention. This includes our underlying beliefs about the program, the stakeholders, or beneficiaries.
- **External Factors:** Factors which are not explicitly in the control of the program but which can have an important effect on the intended outcomes and impact, such as government policies or changes in the political situation in the country.

While the logic model is represented in a linear trajectory, the relationship between factors may not always be unidirectional. Sometimes factors can mutually affect each other. Thus, the logic model should be viewed as a dynamic and evolving process, which should be re-evaluated and adjusted when conditions change. More information about the logic model, including sample templates, can be found within the DRL Monitoring and Evaluation Primer, which can be found at <http://www.state.gov/j/drl/p/c12302.htm>.

### **Risk Analysis**

Risks are unavoidable – all programs inherently contain both internal and external risks. However, with proper identification and management, risks can be prepared for, minimized or mitigated. The purpose of a risk analysis is to identify the internal and external risks associated with the proposed program in the application, rate the likelihood of the risks, rate the potential impact of the risks on the program, and identify actions that could help mitigate the risks. A risk analysis should not be considered a one-time exercise or a static document. DRL defers to organizations to conduct adequate risk analysis and remediation for all of its operations and advises that risk analysis and remediation occur throughout the life of a program and should result in revisions to risk analysis documents and processes as necessary. A suggested format for a risk analysis document is below. Applicants should include all assumptions and external factors identified in the logic model in the risk analysis. Applicants should rate the likelihood of a risk and potential impact of the risk as “High,” “Medium,” or “Low.” Additional lines can be included in the risk analysis table as necessary.

	Description of Risk	Likelihood of Risk	Potential Impact of Risk	Risk Mitigation Plan/Actions
Risks affecting realization of Program Objectives				
Risks affecting realization of Program Outcomes/Outputs				
Risks affecting Organization and Personnel Security				

## Monitoring and Evaluation Plan

A monitoring and evaluation plan (M&E plan) is a systematic and objective approach or process for determining project performance toward its objectives over time. The M&E plan must include a brief narrative explaining how the monitoring and evaluation will be carried out (e.g., the primary methodologies to be used), and who will be responsible for monitoring and evaluation activities. The M&E plan must also include a table with output- and outcome-based performance indicators, including the baselines and quarterly targets for each indicator; type of data disaggregation for the indicator, if applicable (disaggregation by sex, disability status, ethnic or religious minority status, or sexual orientation is required where applicable and appropriate); monitoring and evaluation data collection tools; data source; and frequency of monitoring and evaluation. Successful monitoring and evaluation depend on the following:

- Setting strategic objectives that are clear, specific, attainable, measurable, results-focused, and placed in a reasonable time frame;
- Linking program activities to stated strategic objectives; and,
- Developing key performance indicators that include baselines and targets and measure realistic progress towards all strategic objectives and program activities as well as demonstrate sustainable impact beyond the life of the grant.

Strong monitoring and evaluation plans incorporate performance indicators for *all* program objectives and activities and include baselines and targets for each indicator. Performance indicators are ways to objectively observe program progress and measure the degree of success a program's planned activities have had in achieving the stated objectives. Performance indicators should address the direct products and services delivered by a program (defined as outputs), and the results of those products and services (defined as outcomes). The Office of the Director of Foreign Assistance (F) requires all DRL grantees to report on standard indicators at the appropriate F Framework Governing Justly and Democratically (GJD) Element level. Therefore, applicants should review the F Framework GJD Indicators and include at least one of these

indicators that is relevant to the proposal in the M&E plan. Information on and the list of standard indicators is provided at <http://www.state.gov/documents/organization/101763.pdf>. Please denote these indicators in the M&E plan with an asterisk.

Outputs, which are products and services delivered from the program activities, are often stated as an amount. Output data show the scope or size of project activities, but they cannot replace information about progress towards the project's outcomes or impact. Examples of program outputs include: 100 civil society organization members trained in organizational fundraising and 60 radio programs produced.

Outcomes, in contrast, represent the specific, realistic results of a project and are often measured as an extent of change. Outcomes may include progress toward expected program objectives or other results of the program. For example, a program's objective could be to increase the participation of female candidates in elections. One outcome of the program would be that after receiving training on effective engagement in the political process, 40% of the female participants ran for a seat on the Parliament.

M&E plans should include a clear description of the methodology and data collection strategies and tools to be employed (e.g., pre- and post-test surveys, interviews, focus groups). The description should include how the applicant will track participants or partners as appropriate and be able to respond to key evaluation questions, including satisfaction with the program, information learned as a result of the program, changes in attitude, behavior, or skills as a result of the program, and the effects of the program on institutions or organizations where participants work. To address gender considerations, applicants should also track and disaggregate data of participants by sex, where applicable, and include indicators that capture gender sensitivity. Similarly, projects that address issues affecting other traditionally marginalized populations, such as persons with disabilities, LGBT persons, and ethnic and religious minorities, should track and disaggregate data of participants by those target populations, where applicable and appropriate. Applicants should include indicators that measure support for issues affecting marginalized populations. Lastly, applicants should include the monitoring and evaluation process in their timeline.

For a more detailed explanation of what DRL is looking for in the M&E plan, please review the DRL Monitoring and Evaluation Primer, which can be found at <http://www.state.gov/j/drl/p/c12302.htm>.

### **Budget Guidelines**

Applications will not be considered complete unless they include budgets that respond to the solicitation guidelines. Complete budgets will provide a detailed line-item budget outlining specific cost requirements for proposed activities as well as a summary budget and budget narrative. A minimum of three columns should be used to delineate the bureau funding request, cost-share by applicant, and total project funding. Complete applications will include a budget narrative to clarify and justify individual line-items (i.e., calculations of how the costs were derived per month or year, their necessity, and overall contribution to the program's cost-effectiveness).

Please note: Grantees under DRL-funded projects are responsible for complying with all applicable tax treaties and federal, state, and local laws on tax withholding and reporting for project participants.

The three-column proposal line item budget should include the following components, in the suggested format below:

**1. Summary Budget**

**2. Line-Item Budget**

This budget is designed to serve as an example of the format for complete budget submissions and is NOT exhaustive. Individual line items included in each applicant's budget should reflect specific program activities.

**Before grants are awarded, DRL reserves the right to reduce, revise, or increase proposal budgets in accordance with the needs of the DRL's program and availability of funds.**

**Summary Budget**

Please include the applicant organization name, title and duration of the project, and the following:

All organizations, including those not offering any cost-sharing, should submit a budget, formatted to include three columns for each line item: DRL funding request, cost-share offered, and total funding. Sources of all cost-share offered in the application should be identified and explained in the budget narrative. When organizations have made a reasonable, good-faith effort to obtain cost sharing or are pursuing avenues to cost share, DRL encourages applicants to note this in the proposal.

Budgets should be arranged according to the example format below to clearly delineate cost-share:

**Summary Budget**

	<b>DRL Request</b>	<b>Cost Share</b>	<b>Total</b>
<b>A. Personnel</b>			
<b>B. Fringe Benefits</b>			
<b>C. Travel</b>			
<b>D. Equipment</b>			
<b>E. Supplies</b>			
<b>F. Contractual</b>			
<b>G. Construction</b>	N/A		
<b>H. Other</b>			
<b>I. Total Direct Charges (sum A-H)</b>			
<b>J. Indirect Charges</b>			

<b>K. Total (sum I-J)</b>			
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### Line-item Budget

<b>BUDGET CATEGORY</b>	<b>Federal Request</b>	<b>Cost Share</b>	<b>Total Program Cost</b>
<b>I. SALARIES</b> Indicate each position or individual ( <i>Base salary x % of time x # of months</i> )			
<b>II. FRINGE BENEFITS</b> ( <i>Base fringe % of salaries from above</i> )			
<b>III. TRAVEL</b>			
<b>1. Staff Travel Costs and Per Diem</b> Identify multiple locations and break out costs accordingly			
a. Round Trip Airfare ( <i>fare x # people</i> )			
b. Per Diem ( <i>rate x # of days x # people</i> )			
<b>2. Participant Travel Costs and Per Diem</b> (or residency costs) Identify multiple locations and break out costs accordingly			
a. Round Trip Airfare ( <i>fare x # people</i> )			
b. Per Diem ( <i>rate x # of days x # people</i> )			
<b>3. Ground Transportation</b> ( <i>rate x # of people or # of buses x daily rate, etc.</i> ) Staff or Participant airport transfers upon arrival and departure, bus or van rentals, taxis, etc.			
<b>4. Other Travel Costs</b> (e.g baggage allowance, visas, immunizations etc.) Provide breakdown			
<b>IV. EQUIPMENT</b> Equipment is defined as having a per unit cost of \$5,000 and a service life of more than one year. If the item meets this criterion than all federal procurement policies and procedures must be followed. If an item does not meet these criteria it is considered a supply.			

<b>V. SUPPLIES</b> Provide line item breakdown for each supply category			
<b>VI. CONTRACTUAL</b> All Contractual relationships should be presented in this category – i.e. sub-contracts and sub-awards. If sub-awards are included than each Subaward must be listed separately with a detailed line item budget submitted for each. If indirect is charged on a sub-award please include a NICRA			
<b>1. Sub-Recipient Name</b> Attach sub-award detailed budget – a separate excel tab can be used to show sub-award budgets a. Salaries b. Fringe c. etc.			
<b>2.</b> Add as many lines as necessary			
<b>VII. CONSTRUCTION</b>	N/A		
<b>VIII. OTHER DIRECT COSTS</b> All other costs that do not fit into the categories listed above. (below are examples of allowable other direct costs – it is not an exhaustive list.			
<b>1. Communication</b> Provide line item breakdown for each communication category such as postage, telephone calls, faxes, etc.			
<b>2. Room Rental</b> ( <i>rate x # of days</i> )			
<b>3. Interpreters</b>			
<b>4. Audit Costs *</b> A-133 audit costs can be included it they are not part of indirect pool and only the portion of the cost associated with this program.			
<b>5. Grants Administration</b> – for organization without a Negotiated Indirect Cost Rate Agreement a 10% administration fee can be charged as a direct cost.			
<b>IX. Indirect Costs – If organization has a NICRA use this category.</b>			
<b>TOTAL COSTS</b>			

**A. Personnel** – In general, employees receiving benefits from the applicant organization are considered staff. Consultants hired to assist with the program who do not receive benefits should be included under Contractual. Identify staffing requirements by each position title and brief description of duties. Each staff member's salary calculation should include the annual/base salary of each position, percentage of time and number of months devoted to the project. (e.g., Administrative Director: \$30,000/year x 25% x 8.5 months; calculation:  $\$30,000/12 = \$2,500 \times 25\% \times 8.5 \text{ months} = \$5,312.$ ). This can be in the budget narrative if the organization prefers.

**B. Fringe Benefits** - State benefit costs separately from salary costs and explain how benefits are computed for each category of employee (specify type and rate).

**C. Travel** - Staff and any participant travel:

- 1) International airfare
- 2) In-country travel overseas
- 3) Domestic travel in the United States, if any
- 4) Per diem/maintenance: includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: <http://www.gsa.gov/portal/category/21287> and [http://aoprals.state.gov/content.asp?content\\_id=184&menu\\_id=78](http://aoprals.state.gov/content.asp?content_id=184&menu_id=78). Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.

Please explain differences in fares among travelers on the same routes (e.g., project staff member traveling for three weeks whose fare is higher than that of staff member traveling for four months). Please note that all travel, where applicable, must be in compliance with the Fly America Act. For more information see <http://www.gsa.gov/portal/content/103191>.

**D. Equipment** – Equipment is defined as having a per unit cost of \$5,000 and a service life of more than one year. If the item meets these criteria than all federal procurement policies and procedures must be followed. If an item does not meet these criteria it is considered a supply. Please provide justification for any equipment purchase/rental.

**E. Supplies** - List items separately using unit costs (and the percentage of each unit cost being charged to the grant) for photocopying, postage, telephone/fax, printing, and office supplies (for example, Telephone:  $\$50/\text{month} \times 50\% = \$25/\text{month} \times 12 \text{ months}$ ).

**F. Contractual** –

**a) Subgrants** – For each subgrant/contract please provide a detailed line item breakdown explaining specific services. In the subgrant budgets, provide the same level of detail for personnel, travel, supplies, equipment, direct costs, and fringe benefits required of the direct applicant. If indirect is charged on a subgrant please include a NICRA. Please

note that a subgrantee who receives equal to or more than \$25,000 is required to have a DUNS number. Please visit [www.fsrs.gov](http://www.fsrs.gov) for more information.

Please Note: it is the applicant's responsibility to ensure that proposed sub-awardees are eligible for U.S. government funding.

**b) Consultant Fees** – For example lecture fees, honoraria, travel, and per diem for outside speakers or external evaluators: list number of people and rates per day (for example, 2 x \$150/day x 2 days).

**G. Construction** – Due to the nature of DRL programs, construction costs are generally not allowable or applicable.

**H. Other Direct Costs** – these will vary depending on the nature of the project. The inclusion of each should be justified in the budget narrative. A-133 audit costs can be included if they are not part of the indirect pool and only the portion of the cost associated with this program.

**J. Indirect Charges** – An organization with a Negotiated Indirect Cost Rate Agreement (NICRA) from a cognizant federal government agency other than the U.S. Department of State should include a copy of the cost-rate agreement. Applicants should indicate in the proposal budget how the rate is applied and if any of the rate will be cost-shared. DRL generally does not pay indirect costs against participant expenses, but each case may vary. Organizations claiming indirect costs should have an established NICRA. If subgrantees are claiming indirect costs, they should have an established NICRA that is also submitted with the proposal package.

If your organization does not have a NICRA, the proposal budget should not have a line item for indirect cost charges. Rather, any costs that may be considered as indirect costs should be included in specific budget line items as direct costs.

**Cost Share** - Cost-sharing is the portion of program cost not borne by the sponsor. DRL encourages but does not require cost-sharing, which may be in the form of allowable direct or indirect costs and offered by the applicant and/or in-country partners. Applicants should consider all types of cost-sharing, including in-kind and public-private partnerships. Examples include the use of office space owned by other entities; donated or borrowed supplies and equipment; (non-federal) sponsored travel costs; waived indirect costs; and program activities, translations, or consultations conducted by qualified volunteers. The values of offered cost-share should be reported in accordance with (the applicable cost principles outlined in) OMB Circular A-110 (Revised) Subpart C (23) "Cost-sharing or Matching" for programs starting before December 26, 2014 or OMB's Uniform Guidance for programs starting on or after December 26, 2014. *Other federal funding does not constitute cost-sharing.*

Explanation of contributions should be included, whether cash or in-kind. Assign a monetary value in U.S. dollars to each in-kind contribution. If the proposed project is a component of a larger program, identify other funding sources for the proposal and indicate the specific funding amount to be provided by those sources. In addition, it is recommended that the budget narrative

address the overall cost-effectiveness of the proposal, including leveraging of institutional or other resources.

Please note: DRL programs do not require cost share, but if it is included then the recipient must maintain written records to support all allowable costs that are claimed as its contribution to cost-share, as well as costs to be paid by the Federal government. Such records are subject to audit. In the event the recipient does not meet the minimum amount of cost-sharing as stipulated in the recipient's budget, DRL's contribution may be reduced in proportion to the recipient's contribution.

### **Other Budget Guidelines**

DRL will consider budgeted line-items for the following:

- External evaluations to assess the project's impact (costs must be built into the overall original budget proposal and must be reasonable);
- Costs associated with an internal evaluation conducted by the grantee (costs must be built into the overall original budget proposal and must be reasonable);
- Visa fees and immunizations associated with program travel; and,
- Other justified reasonable costs necessary for achievement of program objectives as allowable by OMB Circulars.

DRL does not pay for the following, under any circumstances:

- Incurred before or after the specified dates of the grant (unless prior approval received);
- Projects designed to advocate policy views or positions of foreign governments or views of a particular political faction; and,
- Alcoholic beverages.

### **Audits**

The recipient's proposal should include the cost of an audit that:

- 1) Complies with the requirements of OMB Circular No. A-133, "Audits for Institutions of Higher Education and Other Nonprofit Institutions" if the program will start before December 26, 2014, or complies with the requirements of OMB's Uniform Guidance for programs starting on or after December 26, 2014;
- 2) Complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving Federal Awards", or complies with the requirements of OMB's Uniform Guidance for programs starting on or after December 26, 2014;
- 3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable. When the U.S. Department of State is the largest direct source of Federal financial assistance (i.e., the cognizant Federal Agency) and indirect

costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required; and,

- 4) If prior to December 26, 2015, organizations that expend more than \$500,000 per year in U.S. government funds are required to have an A-133 audit. If on or after December 26, 2015, organizations that expend more than \$750,000 per year in U.S. government funds are required to have an audit as required by OMB's Uniform Guidance.

*The audit costs shall be identified for: the audit of the basic financial statements, and supplemental reports and schedules required by A-133 or OMB's Uniform Guidance.*

## **Proposal Submission Instructions**

The U.S. Department of State requires proposals be submitted electronically via [www.grantsolutions.gov](http://www.grantsolutions.gov) or [www.grants.gov](http://www.grants.gov). Both systems require registration by the applying organization. *Please note: the Grants.gov registration process can take 10 business days or longer, even if all registration steps are completed in a timely manner.*

**It is the responsibility of the applicant to ensure that it has an active registration in GrantSolutions.gov or Grants.gov and that an application has been received by GrantSolutions.gov or Grants.gov in its entirety. DRL bears no responsibility for applicants not being registered before the due date or for data errors resulting from transmission or conversion processes.**

**GrantSolutions.gov is highly recommended for submission of all applications and is DRL's preferred choice for receiving applications.**

Faxed, couriered, or emailed documents will not be accepted. Applicants must follow all formatting instructions in the applicable solicitation and these instructions.

## **GrantSolutions.gov Applications**

All applicants are strongly encouraged to submit applications via [www.grantsolutions.gov](http://www.grantsolutions.gov).

Applicants using GrantSolutions.gov for the first time should complete their "New Organization Registration" as soon as possible. This process must be completed before an application can be submitted. Registration with GrantSolutions.gov usually occurs directly after an applicant submits their registration. To register with GrantSolutions.gov, click "Login to GrantSolutions" and follow the "First Time Users" link to the "New Organization Registration Page." There are different ways to register your organization, click on the link that fits best.

Upon completion of a successful electronic application submission, the GrantSolutions system will provide the applicant with a confirmation page indicating the date and time (Eastern Time) of the electronic application submission as well as an official Application Number. This confirmation page will also provide a listing of all items that constitute the final application submission. Please save this page for your records.

#### GrantSolutions.gov Help Desk:

For assistance with GrantSolutions.gov accounts and technical issues related to the system, please contact Customer Support at [help@grantsolutions.gov](mailto:help@grantsolutions.gov) or call 1-866-577-0771 (toll charges for international callers) or 1-202-401-5282. Customer Support is available 8 AM – 6 PM EST, Monday – Friday, except federal holidays.

#### Grants.gov Applications

Applicants who do not submit applications via GrantSolutions.gov may submit via [www.grants.gov](http://www.grants.gov). It is DRL's preference that applications be submitted through GrantSolutions.gov.

Please be advised that completing all the necessary registration steps for obtaining a username and password from Grants.gov **can take more than two weeks**

Please refer to the Grants.gov website for definitions of various "application statuses" and the difference between a submission receipt and a submission validation. Applicants will receive a validation e-mail from Grants.gov upon the successful submission of an application. Validation of an electronic submission via Grants.gov can take up to two business days.

#### Grants.gov Helpdesk:

For assistance with Grants.gov, please call the Contact Center at 1-800-518-4726 or email [support@grants.gov](mailto:support@grants.gov). The Contact Center is available 24 hours a day, seven days a week, except federal holidays.

#### Proposal Review Process

DRL strives to ensure each application receives a balanced evaluation by the Department of State (DOS) Review Panel. AQM will determine technical eligibility for all applications. All technically eligible applications for a given solicitation are then reviewed against the same six criteria. These criteria are:

- 1) Quality of Program Idea/Inclusivity of Marginalized Populations;
- 2) Program Planning/Ability to Achieve Objectives;
- 3) Cost Effectiveness;
- 4) Program Monitoring and Evaluation;
- 5) Multiplier Effect/Sustainability; and,
- 6) Institution's Record and Capacity.

Additionally, the Panel will evaluate how the application meets the solicitation request, U.S. foreign policy goals, and the priority needs of DRL overall. Panelists review each application individually against the evaluation criteria, not against competing proposals.

In most cases, the Department of State Review Panel includes representatives from DRL, the appropriate Department of State regional bureau, as well as USAID. DRL requests feedback on applications from the appropriate U.S. embassies and USAID missions for the panelists' consideration. In some cases, additional panelists may participate, including from other

Department of State bureaus or offices, U.S. government departments, agencies, or boards, representatives from partner governments, or representatives from entities that are in a public-private partnership with DRL. At the end of discussion on an application, the panel votes on recommending the application for approval by the DRL Assistant Secretary. The Grants Officer Representative (GOR) for the eventual award does not vote on the panel.

Department of State Review Panels may provide conditions and recommendations on applications to enhance the proposed program, which must be addressed by the applicant before further consideration of the award. To ensure effective use of limited DRL funds, conditions or recommendations may include requests to increase, decrease, clarify, and/or justify costs and program activities.

With the exception of technical submission questions, during the solicitation period U.S. Department of State staff in Washington and overseas shall not discuss competing applications with applicants until the review process has been completed and rejection and approval letters have been transmitted.

For further information on the DRL grants process, please see the DRL website:  
<http://www.state.gov/j/drl/p/index.htm>

### **Proposal Review Criteria**

Applications should address the six specific criteria outlined in the solicitation described below:

#### **Quality of Program Idea/Inclusivity of Marginalized Populations**

Applications should be responsive to the solicitation, appropriate in the country/regional context, and should exhibit originality, substance, precision, and relevance to DRL's mission of promoting human rights and democracy. DRL typically does not fund programs that continue an organization's ongoing work (funded by DRL or other sources), but prioritizes innovative, stand-alone programs. In countries where similar activities are already taking place, an explanation should be provided as to how new activities will not duplicate or merely add to existing activities and how these efforts will be coordinated. Projects that have a strong academic, research, conference, or dialogue focus will not be deemed competitive. DRL strongly discourages health or science related projects unless they have an explicit component related to the requested program objectives in the solicitation.

**DRL strives to ensure its programs advance the rights and uphold the dignity of the most at risk and vulnerable populations, including women, youths, people with disabilities, racial and ethnic minorities, religious minorities, and lesbian, gay, bisexual, and transgender (LGBT) persons. To the extent possible, applicants should identify and address considerations to support these populations in all proposed program activities and objectives, and should provide specific means, measures, and corresponding targets to include them as appropriate. Applicants should provide strong justifications if unable to incorporate the most at risk and vulnerable populations within proposed program activities and objectives. Applications that do incorporate the most at risk and vulnerable populations will be viewed favorably in this category.**

### **Program Planning/Ability to Achieve Objectives**

A strong application will include a clear articulation of how the proposed program activities contribute to the overall program objectives, and each activity will be clearly developed and detailed. A comprehensive monthly work plan should demonstrate substantive undertakings and the logistical capacity of the organization. Objectives should be ambitious, yet measurable results-focused and achievable in a reasonable time frame. A complete application must include a logic model to demonstrate how the program will have an impact on its proposed objectives. Applications should address how the program will engage relevant stakeholders and should identify local partners as appropriate. If local partners have been identified, DRL strongly encourages applicants to submit letters of support from proposed in-country partners. Additionally, applicants should describe the division of labor among the direct applicant and any local partners. If applicable, applications should identify target areas for activities, target participant groups or selection criteria for participants, and the specific roles of subgrantees, among other pertinent details. In particularly challenging operating environments, applications should include contingency plans for overcoming potential difficulties in executing the original work plan and address any operational or programmatic security concerns and how they will be addressed.

### **Cost Effectiveness**

DRL strongly encourages applicants to clearly demonstrate program cost-effectiveness in their application, including examples of leveraging institutional and other resources. Applications should include budgets with low and/or reasonable overhead and administration costs and provide clear explanations and justifications for these costs in relation to the work involved. All budget items should be clearly explained and justified to demonstrate its necessity, appropriateness, and its link to the program objectives.

### **Program Monitoring and Evaluation**

Complete applications will include a detailed plan (both a narrative and table) of how the project's progress and impact will be monitored and evaluated throughout the project. Incorporating a well-designed monitoring and evaluation component into a project is one of the most efficient methods of documenting the progress and potential success of a program. Applications should demonstrate the capacity for engaging in impact assessments and providing objectives with measurable outputs and outcomes.

The quality of the M&E plan will be judged on the narrative explaining how monitoring and evaluation will be carried out and who will be responsible for monitoring and evaluation activities and the detailed table listing by program objectives the output and outcome-based performance indicators with baselines and yearly and cumulative targets, data collection tools, data sources, types of data disaggregation, and frequency of monitoring and evaluation; an external midterm and/or final evaluation or justification for why one is not included; and metrics to capture how program activities target the most at risk and vulnerable populations or addresses their concerns. Competitive applications will propose to share pre- and post-test surveys with DRL immediately following trainings.

### **Multiplier Effect/Sustainability**

Applications should clearly delineate how elements of the program will have a multiplier effect and be sustainable beyond the life of the grant. A good multiplier effect will have an impact beyond the direct beneficiaries of the grant (e.g. participants trained under a grant go on to train other people, workshop participants use skills from a workshop to enhance a national level election that affects the entire populace). A strong sustainability plan may include demonstrating continuing impact beyond the life of a project or garnering other donor support after DRL funding ceases.

### **Institution's Record and Capacity**

DRL will consider the past performance of prior recipients and the demonstrated potential of new applicants. Applications should demonstrate an institutional record of successful democracy and human rights programs, including responsible fiscal management and full compliance with all reporting requirements for past grants. Proposed personnel and institutional resources should be adequate and appropriate to achieve the project's objectives.

### **Additional Information**

DRL will not consider applications that reflect any type of support for any member, affiliate, or representative of a designated terrorist organization, whether or not elected members of government.

Applicants should be aware that DRL considers submitted applications proprietary and will make all efforts to protect information contained in the application. DRL will not voluntarily provide application documents nor divulge their contents outside the U.S. government unless it is part of the aforementioned review process. Please note that DRL cannot guarantee that we will be able to shield applications from disclosure if faced with a request under the Freedom of Information Act (FOIA) or other disclosure statutes. While we will try to assert FOIA exemptions where defensible, FOIA denials can be challenged in court and we cannot guarantee that the documents will ultimately be protected from public disclosure requirements.

### **Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (xx 2014)**

(b) In accordance with section 7073 of Division K of the Consolidated Appropriations Act, 2014 (Public Law 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax

liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

For the purposes of Section 7073, it is the Department of State’s policy that no award may be made to any organization covered by (1) or (2) above, unless the Procurement Executive has made a written determination that suspension or debarment is not necessary to protect the interests of the Government.

(c) Applicant represents that –

(1) It is ☐ is not ☐ an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2) It is ☐ is not ☐ an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.